



7-2-04

1746

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PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031  
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|---|------------------------|-----------------------|
| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 10/077,569            |
|   | Filing Date            | February 15, 2002     |
|   | First Named Inventor   | Chun -hua Chen et al. |
|   | Art Unit               | 1746                  |
|   | Examiner Name          | Monique M. Wills      |
| Total Number of Pages in This Submission  | Attorney Docket Number | ANL 227               |

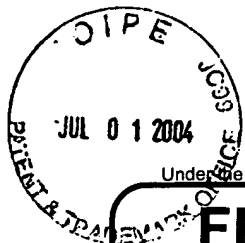
| ENCLOSURES (Check all that apply)  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Technology Center (TC)<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>return receipt postcard |
| <input checked="" type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <div>Remarks</div> <p>FORWARDED VIA EXPRESS MAIL NO. EV 477155764 - FILED 02/15/2002<br/>RESPONSE DUE JULY 1, 2004</p>   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |               |
|--|---------------|
| Firm or Individual name                    | HARRY M. LEVY |
| Signature                                  |               |
| Date                                       | 7/1/04        |

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

|                      |                      |
|----------------------|----------------------|
| Application Number   | 10/077,569           |
| Filing Date          | February 15, 2002    |
| First Named Inventor | Chun-Hua Chen et al. |
| Examiner Name        | Monique Wills        |
| Art Unit             | 1746                 |
| Attorney Docket No.  | ANL 224              |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

05-1060

Emrich and Dithmar, LLC.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee (\$) | Fee (\$) | Fee Description        | Fee Paid |
|--------------------------|--------------------------|----------|----------|------------------------|----------|
| 1001                     | 2001                     | 770      | 385      | Utility filing fee     |          |
| 1002                     | 2002                     | 340      | 170      | Design filing fee      |          |
| 1003                     | 2003                     | 530      | 265      | Plant filing fee       |          |
| 1004                     | 2004                     | 770      | 385      | Reissue filing fee     |          |
| 1005                     | 2005                     | 160      | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee (\$) | Fee (\$) | Fee Description  |
|--------------------------|--------------------------|----------|----------|--|
| 1202                     | 2202                     | 18       | 9        | Claims in excess of 20                                     |
| 1201                     | 2201                     | 86       | 43       | Independent claims in excess of 3                          |
| 1203                     | 2203                     | 290      | 145      | Multiple dependent claim, if not paid                      |
| 1204                     | 2204                     | 86       | 43       | ** Reissue independent claims over original patent         |
| 1205                     | 2205                     | 18       | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$0)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity<br>Fee Code | Small Entity<br>Fee Code | Fee (\$) | Fee (\$) | Fee Description  | Fee Paid |
|--------------------------|--------------------------|----------|----------|--|----------|
| 1051                     | 2051                     | 130      | 65       | Surcharge - late filing fee or oath  |          |
| 1052                     | 2052                     | 50       | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053                     | 1053                     | 130      | 130      | Non-English specification  |          |
| 1812                     | 1812                     | 2,520    | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804                     | 1804                     | 920*     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                     | 1805                     | 1,840*   | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251                     | 2251                     | 110      | 55       | Extension for reply within first month                                     |          |
| 1252                     | 2252                     | 420      | 210      | Extension for reply within second month                                    |          |
| 1253                     | 2253                     | 950      | 475      | Extension for reply within third month                                     |          |
| 1254                     | 2254                     | 1,480    | 740      | Extension for reply within fourth month                                    |          |
| 1255                     | 2255                     | 2,010    | 1,005    | Extension for reply within fifth month                                     |          |
| 1401                     | 2401                     | 330      | 165      | Notice of Appeal   |          |
| 1402                     | 2402                     | 330      | 165      | Filing a brief in support of an appeal                                     |          |
| 1403                     | 2403                     | 290      | 145      | Request for oral hearing   |          |
| 1451                     | 1451                     | 1,510    | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                     | 2452                     | 110      | 55       | Petition to revive - unavoidable   |          |
| 1453                     | 2453                     | 1,330    | 665      | Petition to revive - unintentional   |          |
| 1501                     | 2501                     | 1,330    | 665      | Utility issue fee (or reissue)   |          |
| 1502                     | 2502                     | 480      | 240      | Design issue fee   |          |
| 1503                     | 2503                     | 640      | 320      | Plant issue fee  |          |
| 1460                     | 1460                     | 130      | 130      | Petitions to the Commissioner  |          |
| 1807                     | 1807                     | 50       | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806                     | 1806                     | 180      | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021                     | 8021                     | 40       | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                     | 2809                     | 770      | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                     | 2810                     | 770      | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801                     | 2801                     | 770      | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802                     | 1802                     | 900      | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)

HARRY M. EVANS

Registration No.  
(Attorney/Agent)

24,248

(Complete if applicable)

Telephone 312-663-9800

Signature

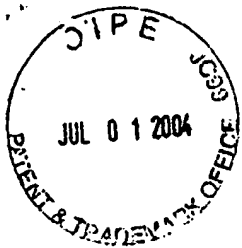
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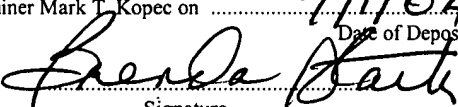
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**PATENT ANL-IN-01-023**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Chun-hua Chen et al.  
Title : LITHIUM ION BATTERY WITH IMPROVED SAFETY  
Serial No. : 10/077,569  
Filing Date : February 15, 2002  
Art Unit : 1746  
Examiner : Monique M. Wills  
Docket No. : ANL 227  
Date : June 30, 2004

|   |                 |
|---|-----------------|
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|   | Date of Deposit |
| Signature   |                 |

**MAIL STOP NON FEE AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT A**

This Amendment is in response to the Office Action dated March 31, 2004, a response to which is due July 1, 2004.

**INTRODUCTORY COMMENTS**

Claims 1-15, 17-21 and 23-29 are amended.

Claims 16, 22 and 30-32 are unchanged.

Amendments to the specification appear on pages 3-4 as indicated.

Page 3, line 1, --and derivatives thereof-- has been added after the term "vinylcrotonate".

line 1, --vinylimidazole-- has been added after the term "vinylacetate".

Page 4, line 4, a comma has been inserted after the word "carbonate".

line 7, --, monofluoro ethylene-- has been added after the term "dioxolan--.

There are no amendments to the drawings.